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UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

REQUEST FOR APPLICATIONS (RFA) (938-2001-A-0500-17)

Solicitation No.: M/OP-01-002

FY 2001 PVO CHILD SURVIVAL GRANTS PROGRAM

**BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION**

APPLICATION SUBMISSION CLOSING DATE: DECEMBER 4, 2000

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REQUEST FOR APPLICATIONS

The United States Government, as represented by U.S. Agency for International Development (USAID), Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation (BHR/PVC), is seeking applications from U.S.-based private and voluntary organizations (PVOs), engaged in international health and development to implement activities under the Child Survival Grants Program (CSGP), as described in the following Request for Application (RFA).

This RFA is issued under the authority of the Foreign Assistance Act of 1961, as amended. USAID plans to enter into a cooperative agreement with selected PVOs that meet the requirements of this RFA. Awards will be administered through 22 CFR 226 and the USAID Standard Provisions.

USAID reserves the right to fund any or none of the applications submitted in response to this RFA. Awards will be made subject to the availability of funds.

NEW THIS YEAR:

- ❑ The life of programs is being increased from four to five years in the “New” and “Mentoring” categories.
- ❑ The “follow-on” category of past years is being discontinued. Instead, PVOs with programs that are ending in FY 2001 may apply for a costed-extension. Guidelines for the costed-extension will be sent under separate cover to all PVOs with programs ending in fiscal year 2001.

Any prospective applicant who has a question concerning the contents of the RFA should submit the question in writing to the Child Survival Division, BHR/PVC (fax (202) 216-3041) by October 31, 2000. Any additional information regarding this RFA will be furnished through an amendment to the RFA.

The World Summit for Children- Ten Years On

September 2000 will mark the 10th Anniversary of the World Summit for Children. Ten years on, the time is right for the world to renew its commitment to children. In a special session of the UN General Assembly scheduled for September 2001, the Assembly will review the implementation of the Plan of Action agreed to in 1990 at the World Summit and identify what needs to be done to accelerate future progress. BHR/PVC encourages PVOs to reflect upon the achievements of the 1990's and strategies for the next decade. This reflection is NOT a requirement for this RFA, simply a reminder of the upcoming event. You can visit the UNICEF World Summit for Children: Ten Years On web page to get information on the upcoming event at: <http://www.unicef.org/wsc10/index.html>

ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
BCC	Behavior Change Communications
BHR	Bureau for Humanitarian Response
CA	Cooperative Agreement
CAB	Cooperative Agreement Budget
CORE	Child Survival Collaborations and Resources Group
CS	Child Survival
CSGP	Child Survival Grants Program
CSTS	Child Survival Technical Support Program
CTO	Cognizant Technical Officer
DIP	Detailed Implementation Plan
HIV	Human Immunodeficiency Virus
HQ	Headquarters
IMCI	Integrated Management of Childhood Illness
IR	Intermediate Result
MOH	Ministry of Health
NGO	Non-governmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement
OP	Office of Procurement
PVO	Private Voluntary Organization
PVC	Office of Private and Voluntary Cooperation
RFA	Request for Application
SO	Strategic Objective
USAID	United States Agency for International Development

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RFA ANNEXES

- A. SAMPLE STANDARD FORM 424, AND ANNOTATED INSTRUCTIONS
- B. USAID MISSION ADDRESSES
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 - C.1. GUIDELINES FOR DIP PREPARATION
 - C.2. TECHNICAL REFERENCE MATERIALS
- D. STANDARD PROVISIONS; 22 CFR 226
- E. CURRENT CSGP RECIPIENTS
- F. BHR/PVC 1999 RESULTS REPORT
- G. CERTIFICATIONS/ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE

PART I

APPLICATION SUBMISSION INSTRUCTIONS

AND

PROGRAM INFORMATION

I. A. INSTRUCTIONS FOR SUBMITTING A PVO CHILD SURVIVAL GRANTS PROGRAM APPLICATION

1. Applicants are advised to read the entire RFA. Part I provides important information about the Child Survival Grants Program (CSGP) and the application process, and Part II describes how to prepare the application.
2. Prepare the CSGP application by responding to all items in Part II, Sections A-F, including attachments where requested. Ensure that the application addresses all items cited in the Section I.E., Evaluation Criteria.
3. Follow the instructions below for formatting your application. Applications that do not follow the instructions will not be reviewed favorably.

*All applications shall be legible, and on standard, letter-sized paper (8 1/2" x 11"). Applicants are asked to limit the body of their applications to no more than 40 (forty) numbered pages, and all attachments to 25 pages or less. Pages beyond the forty (40) page limit will **NOT** be considered in the review process. All attachments should be clearly marked, included at the end of the application, and listed in the table of contents. All attachments and/or supplementary documents must be in English or accompanied by an English translation.*

Type face/characters must be no smaller than 10 (ten) characters per inch (10 CPI) or 12 points. "CPI" is a fixed pitch spacing per inch. Point refers to the measurement of proportional spacing of scaleable fonts. To be sure about the font, hold a ruler under a line of type and count the characters in an inch. Ten CPI is generally equivalent to 12 points. Please refer to your word processing manual for a complete explanation. There are two exceptions to the above instruction: 1) budgets may be in a slightly smaller font (10 point), and 2) tables may use smaller fonts, but must be easily readable.

Unnecessarily elaborate brochures, photographs, artwork, expensive paper and bindings, and expensive visual and other presentation aids beyond those sufficient to present a complete and effective application in response to this RFA are neither necessary nor wanted.

4. The application package must include: **one** version on diskette in Microsoft Word 97; **one** unbound, single-sided original; and **two** bound, double-sided copies of the application (each with a complete set of attachments).

5. The title page of the application should include the **name and address of the applicant** and the **RFA number**.
6. Also include, along with the original of your application, the self-certifications pertaining to compliance with applicable federal and USAID accepted policies for personnel, travel, and procurement systems. If the applicant has not yet completed these certifications, a self-certification package may be obtained from:
- Mr. Steve Tashjian, Branch Chief Phone: 202-712-5321
USAID/M/OP/PS/OCC FAX: 202-712-3143
Ronald Reagan Building, Room 7.08-061
1300 Pennsylvania Ave., NW
Washington, D.C., 20004-3002
7. **Submit the application package on or before December 4, 2000.** Send the application to one of the two following addresses:
- | | |
|--|--|
| <u>Mailing Address:</u>
Child Survival Division
USAID/BHR/PVC
Rooms 7.06-087, RRB
Washington, D.C. 20523-7600 | <u>Hand Carried/Courier Service Address:</u>
Child Survival Division
USAID/BHR/PVC
Room 7.06-087, Ronald Reagan Building
1300 Pennsylvania Ave. NW
Washington, D.C. 20004-3002
(202) 712-1438 |
|--|--|
8. Send a copy of the complete application to the USAID Mission in the country(ies) of the proposed program no later than **December 15, 2000**. It is the responsibility of the PVO to ensure that the USAID Mission receives a copy. See ANNEX B for the current mission addresses.

PLEASE REMEMBER

- **Submit paper copies on standard, letter-sized paper (8 ½" x 11") and an electronic copy on a 3.5" diskette**
- **Accurately complete Standard Form 424 and 424A.**
- **Limit body of application to NO MORE THAN 40 pages.**
- **Limit attachments to 25 pages, or less.**
- **The application text font size must be 12 points, 10 CPI, or larger.**
- **The entire application must be written in English, in MS Word 97. Attachments in another language must be accompanied by an English translation.**
- **Incomplete applications will not be reviewed.**

I. B. THE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION

USAID's Office of Private and Voluntary Cooperation, in the Bureau for Humanitarian Response (BHR/PVC), is the principal office in the Agency for articulating and promoting the development partnership with U.S. Private Voluntary Organizations (PVOs) and Cooperative Development Organizations (CDOs). The office is an essential participant in the development of Agency policies and procedures that affect these U.S. non-governmental organizations (NGOs). BHR/PVC is responsible for registering U.S.-based PVOs for the Agency, and is a central contact point in USAID for information on PVO capabilities and programs.

The competitive grants programs funded and administered by BHR/PVC directly support U.S.-based PVOs and their in-country partners to address critical needs in developing countries and emerging democracies. These programs include: the Matching Grants Program, the Child Survival Grants Program, the Cooperative Development Program, the Farmer-to-Farmer Program, the Development Education Program, and the Ocean Freight Reimbursement Program. Over the past twenty years, BHR/PVC's programs have helped many organizations strengthen their institutional, technical, and operational capacities to successfully contribute to international development. BHR/PVC's expertise and historical experience working with U.S. PVOs and CDOs are reflected in its strategic objective (SO), "to increase the capability of BHR/PVC's PVO partners to achieve sustainable service delivery." All prospective applicants to BHR/PVC competitive grants programs are advised to review BHR/PVC's Strategic Plan on the USAID Internet Homepage: http://www.usaid.gov/hum_response/pvc/pvcplan.pdf

I. C. THE CHILD SURVIVAL GRANTS PROGRAM

I. C. 1 BACKGROUND

Since 1985, the Office of Private and Voluntary Cooperation has invested Congressionally-directed Child Survival funds in community-based child survival programs implemented by U.S. PVOs and their local partners. The program is intended to enhance the participation of PVOs in reducing infant, child, and maternal mortality in developing countries and to strengthen their organizational, managerial, and technical competencies in these areas. BHR/PVC works with a broad range of organizations with a spectrum of different skills and abilities.

Since the program began, BHR/PVC has funded more than 300 child survival programs in 44 countries, with more than 35 PVOs. The rigorous standards of the PVO Child Survival Grants Program challenge PVOs and their local partners to provide higher quality, sustainable, child survival interventions in a variety of program settings, from the smallest, most remote communities to large, district-wide programs, partnering with community groups to district health authorities. BHR/PVC strives for a participatory approach to this program, and continually elicits feedback from PVO partners to raise the standards of the program, to reflect the realities of the global development situation, and to incorporate the experience of the PVOs into the program guidelines.

Since the late 1980s, the PVOs funded under the CSGP have met on a regular basis to discuss technical needs. In 1997, the group formalized itself into a network known as The CORE Group (the Child Survival Collaborations and Resources Group). It now has more than 30 member

organizations, all of which are current or past recipients in the PVO Child Survival Grants Program. The goal of CORE is to assist member organizations to reduce child and maternal mortality by improving health of under-served populations. The members of CORE are citizen-supported, U.S.-based PVOs, i.e. non-profit organizations supported by individuals, groups, and corporations, in addition to receiving Government support. Collectively, CORE members have presence in more than 140 countries. They have had enormous impact throughout the world in addressing not only the challenges of child survival but also those of agriculture, education, economics, poverty alleviation, medical care, sanitation, environmental problems, and the growth of democracy. CORE represents these PVOs and seeks to promote coordination and collaborations between the organizations as well as with outside agencies. CORE provides a networking function that facilitates exchange of learning between organizations. It also plays an advocacy role in raising public and donor awareness of child survival needs and PVO activities. For more information, see the CORE website <http://www.coregroup.org/>.

BHR/PVC supports specific activities for PVOs funded under the CSGP. To this end Macro International implements the Child Survival Technical Support (CSTS) contract to strengthen:

- the ability of PVO staff to design, manage and evaluate their child survival activities;
- the organizational capacity of PVO health units to fund, administer and provide backstopping support to a growing portfolio of child survival and health projects;
- the development and dissemination of information on the PVOs' successes and comparative advantage in implementing health programs;
- the ability of PVOs to strengthen host-country partners in long-term partnerships for child survival and health programming; and
- BHR/PVC's monitoring of performance, and management of the Child Survival Grants Program.

Through CSTS and other mechanisms, PVOs may receive individualized technical assistance in program design and implementation, and periodic state-of-the-art information on child survival interventions. CSTS also offers training opportunities focusing on measuring, documenting and disseminating results and specialized workshops and conferences for personnel at the country, regional and headquarters level. For more information about CSTS, please visit their website: <http://www.childsurvival.com/>.

I.C.2 PROGRAM OBJECTIVE AND RESULTS

The objective of the PVO Child Survival Grants Program is to improve the capacity of U.S.-based PVOs and their local partners to carry out effective child survival programs that measurably improve infant and child health and nutrition, and contribute to the reduction of infant and child mortality.

The CSGP aims for:

- a) increased success of the programs in the CSGP in meeting their objectives and measurably and equitably improving the health of all children and mothers;

- b) the joint programming of PVOs and USAID operating units for community health activities;
- c) PVOs' increased resource mobilization for child survival activities;
- d) PVOs' increased technical and operational support to local partners/NGOs for the design and implementation of child survival programs; and
- e) US public awareness of the success of PVO child survival programs.

Through resources, training and technical assistance, the CSGP strengthens the ability and capacity of PVO staff to design, manage and evaluate effective child survival activities; to fund and manage a child survival and health portfolio; to engage in long-term partnerships with local government, NGO, or community partners; and to disseminate information on PVOs' comparative advantages in child survival and health activities. This program supports institutional strengthening of U.S. PVO field and headquarters operations, and that of their local partners, enhancing their capacity to reduce infant, child, and maternal mortality and morbidity.

The Child Survival Grants Program has contributed to all of BHR/PVC's Intermediate Results. See (http://www.usaid.gov/hum_response/pvc/pvcplan.pdf). In addition, as a result of the program, the partnerships between the U.S. PVOs and USAID, both with BHR/PVC and with the USAID field missions, have become more collaborative. Through this program, the partnerships between the U.S. PVOs and their local counterparts are also more clearly defined and more productive. The CSGP requires cost-sharing between USAID and the PVOs to reach a common program goal, and the PVOs participating in this program have contributed significantly to its success over the years, with both financial and human resources. Finally, the rigorous requirements of this program have enabled our partners to document their successes and more vividly convey to their supporters the work they have accomplished in developing countries.

I.C. 3 PROGRAM INTERVENTIONS AND PRIORITIES

BHR/PVC invests USAID resources in well designed, technically sound, cost-effective programs that focus on activities and strategies through which programs may expect to have the greatest and most sustainable reductions in childhood mortality, in eligible countries and/or program sites with high rates of under-five mortality. Countries and/or program sites with under-5 mortality rates higher than 100 deaths per 1,000 live births are this program's highest priority. (See Part I.C.6. Eligible Countries).

Interventions

Child survival interventions are actions taken by or for individuals and communities to reduce the risk, duration, or severity of an adverse health condition. The CSGP supports programs that implement one or more of the following interventions. Whenever possible, programs should carry out the interventions in an integrated manner.

- Immunization
- Nutrition (including micronutrient promotion or supplementation)
- Breastfeeding
- Control of diarrheal disease
- Pneumonia case management

- Control of malaria
- Maternal and newborn care
- Child spacing in the context of an integrated child survival program
- Prevention of Sexually Transmitted Infection and Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome (HIV/AIDS), where these have an impact on child mortality
- Other infectious disease activities may be appropriate in certain sites, where these have an impact on child mortality.
- The Integrated Management of Childhood Illness (IMCI), although not an intervention per se, is a strategy that is being adopted by PVOs and is supported by the CS GP. It focuses on the five most important causes of infant and child mortality in developing countries: malaria, malnutrition, measles, diarrhea, and pneumonia.

For more information on all the above technical areas, please see Annex C.2., Technical Reference Materials.

Priorities for the FY 2001 PVO Child Survival Grants Program

Priorities are for programs that:

1. Apply effective, innovative, integrated child survival strategies, deliverable at reasonable costs, with a high potential for sustainability – within the capability of the applicant and its partners.
2. Develop synergies with other programs in the same site, such as food aid, microcredit, water & sanitation, agriculture, etc. carried out by the same PVO or complementary to another organization.
3. Address emerging issues, such as malaria and HIV/AIDS, and employ a child survival approach to address the child health needs of the most vulnerable populations.

I.C.4 PROGRAM RESTRICTIONS

- ❑ Child Survival Grants Program funds may **NOT** be proposed for the following types of activities: income generation, literacy training, water supply and sanitation infrastructure, or activities focused only on adolescents. BHR/PVC realizes these activities may be critical to achieving program objectives, and we would support these activities if funded under the PVO cost-share.
- ❑ USAID will **NOT** review applications that propose programs with the **primary purpose** of: research; equipping hospitals, orphanages or other residential facilities; curative care in hospitals; surgical procedures and prosthetics; construction; manufacturing of pharmaceuticals, bednets, or other health aids; evacuation of children to the U.S. for medical treatment; emergency relief activities; or adoptions. These activities are beyond the scope of the CS GP.

- USAID will **NOT** review applications that are otherwise beyond the scope of the CSGP as determined by USAID.

I.C.5. ELIGIBILITY REQUIREMENTS

All applications will be reviewed according to the following eligibility requirements.

- a. Organizational Criteria** - To be eligible for funding under the BHR/PVC Child Survival Grants Program, an organization must:
 1. Be a U.S.-based PVO, currently registered with USAID at the time of application submission. Under the mentoring program, each PVO must be registered.
 2. Receive at least 20% of its total annual financial support for its international programs from non-U.S. government sources.
 3. Contribute, from its non-U.S. Government resources, at least 25% of the total cost of the proposed program (for PVOs proposing a program in a country where they have been funded for two or more cycles under the CSGP, including non-consecutive cycles, a 50% cost-share is required).
 4. Have experience implementing community health related programs in developing countries (organizations interested in building a new sectoral (health) capacity may explore the Matching Grants program).
 5. Be operational, and have a presence in the country where the child survival program is proposed, documented by a signed agreement with the host government included in the application. Previous health program experience in the target country is not required.

In addition to the above eligibility requirements, the following **limitations** may apply:

1. A PVO may be a recipient of no more than **eight** ongoing child survival programs at any one time. For example, if a PVO has nine current programs, two of which end by 9/30/2001, it may submit several applications, but is eligible for only one new program.
2. BHR/PVC will support funding of no more than **two** FY 2001 Child Survival Cooperative Agreements to any single PVO. If a PVO submits three applications and all are in the competitive range, only the two that score the highest will be funded.

b. Program Criteria - Proposed programs must meet the following criteria to be considered for funding:

1. The program site must be in an eligible country or countries (A program may include contiguous countries, or those for which there is a clear rationale for proposing a single program that is active in more than one country. The program must meet all the criteria in each country involved) (See Section I.C.6 for a list of eligible countries);
2. The site must be in a country where the PVO does not already have an active BHR/PVC-funded PVO Child Survival Cooperative Agreement awarded through the annual competitive process, and which follows this program's requirements;
3. The program must be consistent with USAID's country or regional-specific program priorities in the health sector; the application must document consultation with the USAID Mission. Appropriate USAID offices with oversight for non-presence countries are included in Annex B. Applicants are encouraged to consult with missions early in the program design process. BHR/PVC solicits USAID/Mission approval for proposed programs.
4. Be consistent with the national policies in child survival in the targeted country;
5. Involve formal partnerships with a local government, non-governmental organization (NGO), community partner or other local organization. All applications must be prepared in collaboration with the pertinent partners in the proposed program site;
6. Assign at least one public health professional at the PVO's U.S. headquarters to be responsible for CSGP activities; and
7. Assign to the program at the proposed field site one full-time staff person with substantial experience in implementing community health or child survival programs.

I.C.6. ELIGIBLE COUNTRIES

The USAID field offices have proposed the countries listed on the following page. The 1990 World Summit for Children's End-of-Century Goals, agreed to by almost all the world's governments, specify a one-third reduction in the 1990 rates of under-five mortality (or to 70 deaths per 1,000 live births, whichever is less). Therefore, the BHR/PVC Child Survival Grants Program will include additional points in the evaluation criteria for program sites with under-five mortality rates over 70/1,000 and over 100/1,000 (please refer to Section E, Selection Criteria). BHR/PVC recognizes that high mortality areas do remain within some lower mortality countries, and that some lower mortality countries are experiencing deteriorating health conditions. PVOs proposing a program in one of the lower mortality countries must document the high mortality of the targeted population.

Eligible Country List

Under-5 Mortality Rate #	AFRICA	EUROPE and EURASIA	ASIA & NEAR EAST	LATIN AMERICA & THE CARIBBEAN
>100/1,000 live births	Angola 288.3 Mozambique 225.5 Mali 223.3 Malawi 219.5 Guinea 205.8 Liberia 204.4 Rwanda 194.6 Burkina Faso*178.3 Zambia 168.8 Uganda 163 Benin 159.9 Ethiopia 155.5 DR Congo 153.9 Nigeria 149.9 Burundi 145.4 Cote d'Ivoire*144.7 Namibia 139 Madagascar 137.1 Eritrea 130.1 Togo* 128.8 Cameroon* 128.4 Tanzania 127.5 South Africa 119.6 Kenya 110.1 Senegal 110 Ghana 103.6 *West & Central Africa Region	Tajikistan 136.2 Kyrgyzstan 102.5	Nepal 109.8 Cambodia 107.8 Bangladesh 105.6	Haiti 155.1
70-100/ 1,000		Azerbaijan 95 Turkmenistan 92.4 Uzbekistan 89.4 Kazakhstan 70.6	Yemen 97.6 India 93.7	Bolivia 80 Guatemala 71.7
50-69/1,000		Georgia 59 Albania 55	Morocco 63.4 Vietnam 44.1	Peru 54.4
<50/1,000		Moldova 49.6 Ukraine 25.8 Belarus 17.6	Indonesia 54.7 Philippines 43.4	Ecuador 46.9 Dominican Republic 44.3 Honduras 43.3 Nicaragua 42.6 El Salvador 36.6

US Bureau of the Census, International Database, 2000 updates.

* West and Central Africa (WCA) Region: PVOs applying for the WCA Region must consult with those individuals on the contact list for guidance on priority interventions. The programs proposed must have regional relevance, no reliance on a US mission, partnership with local organizations and other U.S. and international PVOs to the extent possible, and diversified funding sources for the proposed activity.

I.C.7 AWARD CATEGORIES

USAID/BHR/PVC requests applications for three categories of funding: Entry, New, and Mentoring Partnership programs. All categories are competitive, with proposed programs only competing against others in the same category. PVOs may apply for more than one category of funding. However, USAID will not award concurrent agreements to an entry PVO under both the Entry Program and another category. For further details concerning the post award requirements for each type of agreement, please refer to Section I.G.2, Requirements for Funded Programs.

NEW THIS YEAR: BHR/PVC has changed the process for applying for follow-on funding. The “follow-on” category of past years will be discontinued. Instead, PVOs with programs that are ending in FY 2001 may apply for a costed-extension. Guidelines for the costed-extension will be sent under separate cover to all PVOs with programs ending in fiscal year 2001. The guidelines will be sent to the relevant PVOs in September 2000, and submissions will be due in December 2000.

a. Entry Programs (2 years, up to \$400,000)

BHR/PVC is exploring ways to engage new PVO partners to plan and implement successful child survival programs in developing countries. BHR/PVC will consider applications from PVOs that have never received a competitively awarded BHR/PVC-funded PVO Child Survival Cooperative Agreement that follows this program’s procedure, but that do have some experience in implementing community health programs in developing countries.

During the first year of the two-year agreement period, PVO recipients complete an in-depth assessment and analysis of the current health situation in the proposed area, establish strong partnerships with local counterparts, jointly design a four-year program for the same site, and initiate a limited set of activities. The health situation assessment includes the current state of the health care services in the area, including infrastructure, support systems, and technical capacity. It also includes the current health status of the beneficiary population, the knowledge, practices, and beliefs of the target population, and all other information that would help the PVO develop a program that provides equitable access to care for disadvantaged and under-served segments of the population.

Entry Program recipients that intend to continue with the CSGP should collaborate with appropriate local partners to design a four-year “post-entry” program using the DIP (Detailed Implementation Plan) guidelines provided by BHR/PVC. The DIP must be submitted by December 31, 2002, as an application for a four-year post-entry program for the same site. Funding beyond the two-year entry program is contingent upon a

successful evaluation of the DIP. The same criteria are applied as for a new program, although the post-entry Program DIP/Application will not compete with other new program applicants in the FY 2002 cycle.

During the second year of the Entry Program, the PVO and its partners continue a limited set of activities that could be scaled up should the DIP/Application be funded.

The CSGP will be available to assist the PVO during the life of the Entry Agreement with specified technical assistance and training from the CSTS Project and other sources. However, the PVO is responsible for preparing its own DIP, as it will be considered under competitive guidelines.

Each two-year Cooperative Agreement will be awarded up to a total of \$400,000.

b. New Programs (up to 5 years, up to \$1,300,000)

This is a highly competitive funding category, requiring substantial experience in child survival. Successful applicants will demonstrate strong ability to implement effective programs and to set higher standards for their organizations and the PVO community. These programs propose viable and innovative strategies, methods, or materials for implementing child survival activities that may be adapted for use by other organizations, or that are applicable on a wider scale.

New Programs may be up to five years long in an eligible country site where the PVO has not previously implemented a BHR/PVC-funded PVO Child Survival program awarded through the annual competitive process. The program must comply with CSGP requirements. Applications for New programs may be submitted for a previously funded site, **only** if the prior program was substantially different in approach and interventions. USAID welcomes applications for this award category from ALL interested registered U.S. PVOs. However, PVOs who have not received funding from BHR/PVC previously should also consider the entry and mentoring grant categories.

During the first six months of the agreement period, PVO recipients complete an in-depth assessment and analysis of the current health situation in the program site, establish strong partnerships with local counterparts, and jointly prepare a detailed workplan, called a Detailed Implementation Plan (DIP) following guidelines provided by USAID. The analysis will include the current state of health care services, including infrastructure, systems, and technical capacity. It should also include the current health status of the beneficiary population, the knowledge, practices, and beliefs of the target population, and all other information that would help the PVO develop a program that promotes access to care for the disadvantaged and under-served segments of the population. The DIP is reviewed with the PVO and a panel of international health professionals from USAID and other organizations to ensure a successful program.

BHR/PVC will support up to \$1,300,000 for each New Program. One award will be made to a single recipient, with any number of subrecipients.

In order to demonstrate progress towards long-term financial sustainability, applications for new programs in a country where BHR/PVC CSGP has funded a PVO for two or more funding cycles, require a cost-share of 50% of the total program costs.

c. Mentoring Partnerships Programs (up to 5 years, up to \$1,700,000.)

A Mentoring Partnership is an innovative program involving a partnership between two U.S. PVOs. The "mentored" PVO must have international health and development experience, yet has not implemented a competitively awarded BHR/PVC-funded PVO Child Survival Program following this program's procedures. The "mentor" PVO must have successfully completed at least one BHR/PVC PVO Child Survival Cooperative Agreement. This category of funding is intended to encourage PVOs with less experience in community-based child survival programs to engage in these activities. These programs also increase the mentor PVO's ability and skills in child survival technical interventions, organizational development, partnering, technical assistance, and other programming skills.

Based on the positive experience to date for the institutional capacity building and technical accomplishments of these programs, BHR/PVC encourages PVOs to consider developing this kind of partnership. Applications for Mentoring Partnerships will only compete with other applications in this funding category.

During the first six months of the agreement period, the mentee and mentor complete an in-depth assessment and analysis of the current health situation in the program site, establish strong partnerships with local counterparts, and jointly prepare a detailed workplan, called a Detailed Implementation Plan (DIP), following guidelines provided by USAID. The analysis should include the current state of health care services, including infrastructure, systems, and technical capacity. It should also include the current health status of the beneficiary population, the knowledge, practices, and beliefs of the target population, and all other information that would help the PVO develop a program that promotes access to care for the disadvantaged and under-served segments of the population. The DIP is reviewed with the PVO and a panel of international health professionals from USAID and other organizations to ensure a successful program.

Under this funding category, USAID will support up to \$1,700,000 for each successful application. A single award will be made to one recipient, which may be either the mentored or the mentor organization, with the partner as a sub-recipient. The application should propose the management structure that the partner organizations have determined best meets their respective needs. The operational recipient must demonstrate a current, active presence in the target country.

To help PVOs contact others that might be interested in a partnership we have included Annex E, Current CSGP recipients.

I.C.8. ANNUAL FUNDING FOR PROGRAMS

Annually, the available funds for new starts in the CSGP is in the \$12-16 million range. The remainder of CSGP resources are used to fund current, ongoing programs and for technical support. While BHR/PVC expects such funding to become available, there can be no assurance that this will be the case and issuance of this RFA does not constitute an award commitment on the part of the U.S. Government. Further, the U.S. Government reserves the right to reject any or all applications received.

In FY 2001, BHR/PVC expects to receive \$2-3 million specifically earmarked for activities that address malaria and HIV/AIDS. We will fund competitive applications that address these diseases within the context of their child survival program.

I.D. THE APPLICATION REVIEW PROCESS

All applications which meet the eligibility and program requirements, and conform to the application preparation and submission instructions, will be reviewed and scored by a panel of USAID reviewers in strict conformity with the evaluation criteria set forth in Section I.E, Evaluation Criteria. The review panel will consist of appropriate staff from BHR/PVC, USAID Regional Bureaus, and other USAID offices with international public health expertise. The panel is composed of different reviewers each year, and specific PVOs may not be well known to all reviewers. Decisions are made based only on the information included in the application.

USAID Missions also review the applications and send their reviews and comments directly to BHR/PVC. These reviews will be a critical consideration in funding decisions. To ensure that proposed programs adequately support achievement of USAID Mission objectives, applicants should discuss their ideas and planned programs with the USAID designated contact person (in Annex A), in the targeted country well before preparation and/or submission of an application. The PVO should cite this consultation in the Executive Summary of the application.

BHR/PVC engages non-USAID public health experts to evaluate technical aspects of the applications. External reviewers submit written comments that are distributed to the review panel and taken into consideration in the scoring process.

BHR/PVC will distribute copies of each application to all reviewers, except USAID Missions. Applicants are responsible for providing a copy of the application to the relevant USAID Mission by December 15, 2000.

The budget narrative of all applications under consideration for award will be carefully reviewed for necessary and reasonable costs to support the program.

Upon completion of its initial review of applications, USAID may, as it deems necessary and appropriate, conduct written and/or oral discussions with those applicants whose applications remain in the competitive range. The decision to conduct such discussions should not be considered a reflection of a final decision on which organizations will receive an award, but rather part of the evaluation process.

The review process of the CSGP applications will take approximately three to four months, after which BHR/PVC will prepare a recommendation for approval that is signed by the Assistant Administrator of BHR, when funds are available. The USAID Office of Procurement will negotiate with those PVOs that presented recommended programs, and make awards before September 30, 2001. USAID, however, reserves the right to fund any or none of the applications submitted.

BHR/PVC will provide all applicants with a summary of the review panel comments and other relevant written comments. Upon receipt of the materials, applicants may request an in-person meeting with PVC staff to discuss the application. BHR/PVC sends the debriefing comments to the individual provided in Question 5 of the SF 424, unless the PVO specifies otherwise.

I.E EVALUATION CRITERIA

The criteria on the below chart will be used to evaluate the applications, so close adherence to the criteria is necessary but does not guarantee a successful review.

SCORING CRITERIA	Max. Points for Program Type		
	Entry	New	Mentor
<u>A. Budget Information</u>			
<ul style="list-style-type: none"> - SF 424, detailed budget and budget narrative itemize all program costs. - Appropriate use of USAID and cost-share funds, HQ & field costs are realistic. - Program activities are adequately budgeted. - PVO cost-share reflects 25% (50% for 3rd cycle) of total budget. - Budget and/or narrative demonstrate partner's participation in planning. - Budget demonstrates phase-out of recurrent costs. 			
Budget Total	10	5	5
<u>B. Executive Summary and Overall Application</u>			
<ul style="list-style-type: none"> - Application follows formatting instructions. - Executive summary presents a comprehensive overview of the proposed program. 			
Executive Summary Total	5	5	5
<u>C. Description of the PVO Applicant</u>			
<ul style="list-style-type: none"> - Organization's purpose, mission, major sectors clearly presented, and the relevance of this program to their mission is clear. - Demonstrated past performance in technical and program areas. - Experience in building partnerships and transferring technical and management skills in local organizations. 			
PVO Applicant Total	10	5	5
<u>D.1 Problem Analysis and Strategy Options</u>			
<ul style="list-style-type: none"> - Problem statement of site for country is compelling. Under 5 and maternal mortality and nutritional status is clearly defined. - Selection of interventions and strategies based upon a thorough assessment of health constraints and opportunities. - Relevant stakeholders appropriately involved in the selection of site, interventions and strategies. - Program is consistent with USAID strategic objectives. 			
Problem Analysis and Strategy Options Total	10	10	10
<u>D.2 Program Approach</u>			
<ul style="list-style-type: none"> - Overall program goals, result oriented objectives, and strategies and address constraints mentioned in section D.1. - Clearly established goals and objectives that are realistic. The objectives are measurable and represent the highest level result that the recipient can expect to materially affect and for which it will be held accountable. - Clear picture of how the program will relate to health activities in the program area. - Role of local partners clearly described. - Clearly articulated strategy for behavior change - Clearly articulated plan for training and supervision - Letters of collaboration and endorsement included in attachment - Innovative new methods, strategies or materials described - Realistic plans to address challenges. 			
Program Design Total	10	10	10

SCORING CRITERIA	Max. Points for Program Type		
	Entry	New	Mentor
<u>D.2.a Capacity Building</u> - Objectives and strategies for building PVO capacity clearly described - Clear plan for sharing lessons learned from this program with other PVO programs. - Approach to building capacity and forming partnership with local partner is clearly articulated and appropriate - Capacity building approach supports sustainability objectives			
Capacity Building Total	10	10	10
<u>D.2.b Sustainability</u> - The elements of the program that are to be sustained are clearly stated. - Sustainability objectives and strategies are realistic and appropriate. - Clearly outlined devolution strategy			
Sustainability Total	5	10	10
<u>D. 3Child Survival Interventions</u> - Essential elements of each intervention are addressed (incl. Quality, access, behavior, training etc.) - Demonstrated knowledge of target population - Approach to program integration (IMCI, other) is technically sound - Program approach is consistent with MOH policies, or MOH agrees to PVO approach			
Child Survival Interventions Total	10	15	15
<u>E. Performance Monitoring and Evaluation</u> - Process to gather, analyze, and use data in project management is clearly articulated and realistic - Planned baseline studies are clearly outlined, budgeted for, and appropriate. - How program data collection will relate to MOH (or other existing) system is clearly described and the two complement each other. - Plan to disseminate lessons learned is articulated - Indicators match program objectives, and define what will be measured to evaluate achievements. - Indicators to measure objectives are consistent with globally and/or nationally accepted standards for child survival interventions.			
Performance Monitoring and Evaluation Total	15	15	15
<u>F. Management Plan</u> - Clear management structure - Roles and responsibilities are clear - Sufficient and appropriate human resources are devoted to the program - Sufficient backstopping from headquarters - Areas of technical assistance are identified and appropriate - Workplan is sufficiently detailed			
Management Plan Total	15	15	15
GRAND TOTAL	100	100	100

I.F. NEGOTIATION AND AWARD

Authority to Obligate the Government: The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer. If recommended for an award, it is the responsibility of the Agreement Officer to make a responsibility determination regarding your organization. Prior to any award decision, the Agreement Officer may request a pre-award survey of the applicant organization(s) to assess financial management capabilities and to confirm all factors of eligibility for this program.

Budget negotiations will be conducted using applicable OMB Cost Principles and other USAID Guidance that may apply. These negotiations will entail a breakdown of each line item, and reduce to writing all understandings between USAID and the Recipient. The Agreement Officer may request, from prospective Recipients, additional information regarding the budget figures. In the event that an application is funded, a Cooperative Agreement Budget (CAB) will be drafted and negotiated between USAID and the PVO recipient. The CAB in the award document will be based on the 424A budget and the budget narrative submitted by the PVO.

I.G. REQUIREMENTS FOR FUNDED PROGRAMS

I.G.1. USAID RESPONSIBILITIES

Cooperative Agreements are conditional grants that have substantial involvement by USAID in the implementation of the program. BHR/PVC will be substantially involved during the period of the cooperative agreement. Specifically, the Agreement Officer, or as delegated, the CSGP Cognizant Technical Officer (CTO) will provide:

- a. Approval of the Detailed Implementation Plan (DIP) submitted to USAID/BHR/PVC within six months of the award, and any subsequent revisions. PVC staff and other technical specialists will review the DIP and meet with the PVO to discuss strengths and weaknesses.
- b. Approval of changes in the program description. This includes changes in specific activities, program location, beneficiary population, international training costs, international travel, indirect cost elements, or the procurement plan. Some of the above changes may require a modification to the cooperative agreement by the Agreement Officer.
- c. Approval of key personnel including the Headquarters Technical Backstop, Field Program Manager, and Evaluation Team Leaders, and any subsequent changes in the positions during the life of the award.

- d. USAID involvement in monitoring progress toward the achievement of program objectives during the Cooperative Agreement, including written guidelines for the content of annual reports and midterm and final evaluations in accordance with ADS 303.5.11.a.3.

I.G.2. PVO RECIPIENT RESPONSIBILITIES

The selected recipients will be responsible for implementing the program in accordance with the terms and conditions of the award and all applicable USAID regulations, and for the following activities and documentation during the life of the program:

- a. The PVO must request the approval of the USAID Cognizant Technical Officer for the following personnel: Headquarters Technical Backstop, Field Program Manager, and Evaluation Team Leaders;
- b. A baseline and a final assessment of **the PVO's** organizational capacity at headquarters and in-country, and assistance to local partners to do a baseline and final self-assessment of their organizational capacity. If the PVO and/or local partner has conducted an assessment in the two years prior to the award, this can be used as a baseline.
- c. A baseline assessment of the health status and behavior of target population and relevant services to refine program design, and a final assessment to measure program achievements and performance;
- d. A life-of-program (LOP) work plan, called a Detailed Implementation Plan (DIP), submitted within six months (15 months for Entry Programs) of the award/program start date using guidance from USAID (See Annex C, Sample Guidelines for Preparation of Detailed Implementation Plan (DIP)). These guidelines are updated annually for new CSGP recipients). Entry programs submit a DIP/Application 15 months from the award date. BHR/PVC uses the participatory analysis of the Detailed Implementation Plan (DIP) as a learning experience for both the Agency and the PVO community;
- e. Mid-term and final evaluations and annual reports according to the requirements outlined in the cooperative agreement;
- f. Recipients must provide and document a cost-share not less than 25% of the total program budget, as described in Section I.A., Budget Narrative. Applicants for the third funding cycle in a country must propose a cost-share in an amount not less than 50% of the total program budget. If the PVO does not meet the cost-share commitment by the end of the award, past performance and future funding decisions will be affected;
- g. Recipients must request approval from the Agreement Officer for any changes in the program description. This includes changes in specific activities, program location, beneficiary population, international training costs, international travel, indirect cost elements, or the procurement plan. Some of the above changes may require a modification to the cooperative agreement by the Agreement Officer; and

- h. An annual submission of the updated Standard Form 424A, Sections D and E only, along with the annual submission of either an annual report, or a mid-term or final evaluation, in response to the program cycle. These shall be submitted, one original and one copy to the following:

One Original to:

BHR/PVC PVO Child Survival Program
U.S. Agency for International Development
BHR/PVC, Room 7.06
Ronald Reagan Building
1300 Pennsylvania Ave, NW
Washington, DC 20523-3002

One Copy to:

Lisa Maass, Agreement Officer
U.S. Agency for International Development
M/OP/A/FAO, Room 7.10-060
Ronald Reagan Building
1300 Pennsylvania Ave, NW
Washington, DC 20523-7101

- i. The recipient should provide copies of the final Cooperative Agreement to all key program personnel as cited in the agreement.

The awards made pursuant to this RFA will be subject to the requirements of 22 CFR Part 226 "Administration of Assistance Awards to U.S. Non-Governmental Organizations," and the applicable Standard Provisions for U.S. Non-Governmental Grantees. The Standard Provisions and 22 CFR Parts 226 and 228 are available on the USAID websites, <http://www.usaid.gov>, and http://www.usaid.gov/ftp_data/pub/handbooks/cfr22

PART II

GUIDELINES FOR THE CHILD SURVIVAL GRANTS PROGRAM APPLICATION

All requests for Child Survival funding for FY 2001 must be made by completing items A-F below, including attachments where requested. Address all review criteria (see Section I.E) in your application. You may cross-reference information that seems repetitive. If any item is not applicable for your program, explain why it is not applicable. Do not omit reference to that item. Refer to Section I.A. for formatting and submission instructions.

The following are the page limits:

Section A	Budget Information: No limit
Section B	Executive Summary: 2 pages
Sections C-F	40 pages
All Attachments:	25 pages

Application Checklist: The application should include the following information:

- A. Budget Information
 - 1. SF 424 and 424a
 - 2. Detailed Budget and Budget Narrative
- B. Executive Summary (2 page limit)
- C. Description of the PVO Applicant
- D. Program Description
 - 1. Problem Analysis and Strategy Options
 - 2. Program Approach
 - 3. Child Survival Interventions
- E. Monitoring and Evaluation
- F. Management Plan
 - 1. Organizational Structure
 - 2. Human Resources
 - 3. Financial Management
 - 4. Work plan

ATTACHMENTS

Map of Program Area
Mentoring Agreement (if applicable)
Legal Authorization to operate in target country (ies)
Previous Evaluations (if applicable)
List of Federally Funded Contracts and assistance (if applicable)
List of all pending Applications (if applicable)
Letters of Support
Position Description/CVs
Organizational Chart
Certifications (if applicable)

II.A. BUDGET INFORMATION

II.A.1. Standard Form 424 & 424A

Standard Form 424 is the standard form used by applicants as the required face sheet for applications submitted for Federal assistance. Standard Form 424A is the form used by applicants for presenting overall budget information. These forms (424 & 424A), along with detailed instructions for completing them, are included in Annex A of this document. Please pay careful attention to the budget instructions. There are specific criteria that must be met for this program, some of which have been amended since the previous RFA. Failure to accurately complete these forms could result in a non-funded application.

The Standard Form 424A, Section A requests costs organized by headquarters and field, and by Federal and Non-Federal. This information should be the same as that presented in other Sections. Federal refers to the funds requested from USAID, and Non-Federal refers to funding from the applicant and other sources. The amounts for Federal and Non-Federal presented here should be the same as the Estimated Funding presented on the Facesheet, Standard Form 424, 15.a and b, plus any entry for e. The total program amount on the Facesheet should be the same amount presented in Section A, and in Section B. For further information regarding use of Non-Federal funds, refer to the discussion of budget narrative and “cost-share” in this section of the RFA.

Headquarters Costs are *direct* costs incurred by the U.S.-based PVO head office in the United States in support of the child survival program overseas. This does not duplicate established indirect cost rates. USAID will support up to 15% of the direct costs of the USAID funds in the program budget for the PVO’s U.S. headquarters’, or joint headquarters’ in the applications for mentoring partnerships, for support to the field program, and for improving child survival technical and operational capabilities of the PVO(s). This amount may be exceeded up to 20% of the proposed direct costs if the application clearly shows how any additional funds will improve the PVO’s institutional capacity for child survival programming. The headquarters budget should be directly related to the description of how the PVO builds and maintains technical and operational capacity. In addition to backstopping and site visits to the field program, types of activities that PVOs have included in the past are continuing education opportunities for staff, information exchange and technical networking among PVOs, reference materials, and observational visits to other field programs of the same PVO or other PVOs. All headquarters costs must be appropriately distributed in the correct amounts and contained within the correct categories of Standard Form 424A, Section B, as per the guidelines in Annex A.

Field costs should include all funds designated for expenditure within the host-country for carrying out the planned program. All field costs must be appropriately distributed in the correct amounts and contained within the correct categories of Standard Form 424A, Section B, as per the guidelines in this RFA.

The Standard Form 424A, Section B is divided into eleven “Object Class Categories”. The Object Class Categories must be presented in two columns, “Federal”, which are the costs being funded by the USAID portion of the overall program budget, and “Non-Federal”, which are the

costs covered by the PVO cost-share portion of the entire program budget. The entire program budget must be appropriately distributed and contained within these categories and columns. The categories include Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction, Other, Total Direct Charges, Indirect Charges, and Totals. The Construction category does not apply to this program. Program costs proposed for “training” and for “sub-grants” must be included in the "Other" Object Class Category. For further elaboration on each of the Object Class Categories, please refer to the instructions in Annex A. Annex A includes a sample Form 424 and 424A.

II.A.2. Detailed Budget and Budget Narrative

The detailed budget and narrative should follow the SF424 and 424A, and should fully define and support the line item costs for both the federally-funded (USAID) and non-federally funded (PVO cost-share) portions of the budget. Based on the calculations shown in the narrative, the Cognizant Technical Officer (CTO) and the Agreement Officer should be able to easily verify all costs for the proposed program. The costs proposed for “training” and “sub-grants” must be itemized in the explanation of the Object Class Categories within the budget narrative, so that they may be subsequently negotiated and included in the appropriate category of the Cooperative Agreement Budget.

All costs contained in the budget should accurately reflect the planned level of program activities in the program design. For example, the training budget should reflect the specific training activities to be undertaken by the program. If 20% of the program approach includes training, then the budget should reflect the detailed training costs for this level of activity. This same principle should be maintained throughout the budget when itemizing all field costs.

Applications for all program categories should include a detailed procurement plan containing explicit information on how procurements will be accomplished. Carefully read the guidance in Annex A on Equipment, Supplies, and Other, including the sections on restricted goods, 22 CFR 228, and Standard Provisions 3.10. BHR/PVC will **NOT** authorize the use of USAID funding for any restricted goods. BHR/PVC does **NOT** seek waivers for the purchase of non-U.S. motor vehicles, pharmaceuticals, used equipment, seeds or pesticides. The applicant should consider funding such commodities with the non-federal portion of the program budget.

Restricted Goods

- ☒ Agricultural Commodities
- ☒ Non-US Motor vehicles (including motorcycles and mopeds)
- ☒ Pharmaceuticals
- ☒ Pesticides
- ☒ Used Equipment
- ☒ U. S. Government-Owned Excess Property
- ☒ Fertilizer

The recipient is expected to comply with USAID Eligibility Rules for Goods and Services in the Standard Provisions, and 22 CFR Part 228, and use its cost-share for any goods and services that do not comply with these rules.

The PVO Cost-Share: An application budget that demonstrates a PVO's strong financial commitment to the proposed program from its own organization, or from other non-federal sources, will be reviewed positively. Please see the Evaluation Criteria in Section I.E. The cost share contribution directly contributes to the achievement of the CSGP program objectives by encouraging ownership of the overall program, and demonstrating the commitment of the PVO. In addition, recipient procurement of non-expendable property ensures and facilitates title to the equipment or vehicle. The applicant must propose a cost-share in an amount not less than 25% of the total program budget. The total program budget is defined as the total cost of the program, including both Federal and Non-Federal sources. For example, if the total program costs \$1,340,000, USAID contributes \$1,000,000 and the PVO contributes \$340,000, then the PVO has contributed exactly 25.37% of the total.

Applicants for a third funding cycle in a country must propose a cost-share in an amount not less than 50% of the total program budget. It is expected that based on previous accomplishments, the PVO will be able to attract other resources to meet this commitment.

The PVO cost-share may consist of PVO contributions, as well as other non-federally-funded contributions received by the PVO for funding of this program. The cost-share must meet all of the criteria detailed in 22 CFR 226, Section 226.23, and the criteria must be discussed in detail within the budget narrative. The entire PVO cost-share must be appropriately distributed (in the correct amounts) and contained within the eleven Object Class Categories of the Standard Form 424 and 424A, Section B as per the guidelines in Annex A.

Please note that if any portion of the proposed cost share includes pharmaceutical donations, PVOs should follow internationally accepted guidelines on the use and distribution of donated drugs. Please refer to the website <http://www.drugdonations.org/eng/index.html> for further information.

II.B. EXECUTIVE SUMMARY

The Child Survival Grants Program uses the Executive Summary from each application as an informational document for decision-makers, Congress, public inquiries, the press, and others. Therefore, this Section should contain the information that the PVO believes best represents its program. There is no prescribed format for the executive summary. However, it should briefly state the following:

- *program location*
- *problem statement*
- *estimated number of beneficiaries, broken down by children under five and women of reproductive age*
- *program goals, objectives and major strategies*
- *breakdown of the estimated level of effort devoted to each intervention using the list of interventions in I.3.C (e.g. immunizations – 30%, control of diarrheal diseases – 45% and pneumonia case management – 25%)*
- *Local partners involved in program implementation*
- *the grant category of the application (including if it is third cycle)*
- *the proposed start and end dates*
- *the level of funding*
- *name and position of the local USAID Mission representative with whom the proposed program has been thoroughly discussed*
- *main authors of the document*
- *contact person at PVO for the proposed program (this should also be in the SF 424)*

II.C. DESCRIPTION OF THE PVO APPLICANT(S)

This section of the application provides information about the applicant organization. The section should provide evidence that the PVO has the ability to carry out a successful program. For mentoring grants and other programs that involve partnering of two or more U.S. PVOs, all of the following information should be provided for each of the U. S. PVO partners.

- ❑ Describe the U. S. PVO applicant – including its general purpose, mission statement, future goals, annual budget (including funding sources), major sectors of involvement, and main methods of operation. Explain how the proposed program complements the overall mission of the organization.
- ❑ Discuss the organization's past performance as it relates to the proposed program. Include experience in designing, implementing, monitoring, and evaluating international, community-level, child survival programs.
- ❑ Discuss partnerships you have had with host-country partners in the proposed country or other relevant countries, and provide examples of how you have increased the capacity of local groups.

- ❑ Discuss the PVO's adherence to the terms and conditions of its past USAID centrally-funded child survival grants, including the technical, financial, and administrative aspects of performance.
- ❑ In an ATTACHMENT list all federally and non-federally-funded contracts, grants or cooperative agreements involving similar or related programs for the last three years. Include (1) the name of the organization or agency funding the programs, (2) the contact person at the organization, (3) the total program budget, and areas where activities were or are being implemented, (4) the start and end dates, and (5) the main program activities.
- ❑ In an ATTACHMENT provide a list of all other applications pending federal or non-federal funding for similar or related programs in the proposed country.
- ❑ Describe the organization's operations, current agreements, and working relationships with the host country government and other organizations within the country proposed in this application. Documentation of legal authorization to operate in the host country MUST be provided in an ATTACHMENT.

Please note: For mentoring partnerships, provide as an ATTACHMENT, a draft agreement between the two organizations submitting this application. Include the defined roles, responsibilities, and accountability of each partner organization. In the event that this application is approved for funding, the agreement must be finalized and signed before the award is made by USAID.

II.D. PROGRAM DESCRIPTION

II.D.1 PROBLEM ANALYSIS AND STRATEGY OPTIONS

This section of the application presents the main constraints and opportunities to child survival and maternal health in the program location, and based on the constraints, justifies the selection of interventions and major strategies for the proposed program.

- ❑ Briefly describe the location of the proposed program (provide a map with scale in an ATTACHMENT). Estimate the total population, breaking out children under five years of age, and women of reproductive age (15-49 years) living in the program site. Estimate the number of villages (or other community unit) that are in the target area. Please cite the sources of data.
- ❑ Discuss the health status of the population including under-five and maternal mortality rates, nutritional status and major causes of mortality and morbidity. Please cite sources of data.

- ❑ Describe the major opportunities and constraints to maternal and child health and how the interventions and strategies will address those constraints. This should include, but is not limited to, the following:
 - socioeconomic characteristics of the population (such as economy, religion, gender equity, ethnic groups, literacy, etc.) that have an impact on health status.
 - the current status of health care services in the site, including existing services (i.e. those of your PVO, other U.S. PVOs, the MOH, local NGOs, the private commercial sector, and traditional health providers), where people currently seek care, the current level of access, and barriers to access (e.g. cost for services, distance to facilities, and transportation) – particularly for disadvantaged groups.
 - behavioral characteristics of the target population with regard to health (these can be briefly discussed here and elaborated upon in later sections).
 - for countries in transition, or in a post-conflict phase, please include a discussion of specific factors related to the conflict that may affect child survival outcomes.
- ❑ Explain the process used to select the site. Identify potential opportunities for synergies with other sector programs in the same geographic area (see Section I.C.3, Program Priorities).
- ❑ Briefly state the type and background of the local organizations and/or groups with which your organization will work.
- ❑ Describe the involvement of all relevant stakeholders (e.g. MOH, community and local partners) in the selection of the site, interventions and strategies.
- ❑ In an ATTACHMENT, include a letter showing general support for the proposed program from each of the cooperating governmental and/or other organizations with whom the program will establish a formal relationship. The letter does not have to outline specific roles and responsibilities. Each letter must be dated within three months of your application submission.
- ❑ Describe how the program is consistent with USAID-Mission's strategic objective for the proposed country.

Please Note: Applications for **third cycle** funding should explain why the country, the site, and the program are still a high priority for assistance from the Child Survival Grants Program.

II.D.2 PROGRAM APPROACH

This section provides an overview of the program, including capacity building and sustainability.

- ❑ Describe the broad program approach, including the goal, results-based objectives, and major strategies that will best address the constraints described in Section D.1.
- ❑ Describe the local partners' role in the implementation of the program.
- ❑ Discuss the relationship this program will have with other existing, or future health-related activities and/or health facilities in the proposed program area, including those of your own PVO, other PVOs, networks or associations of NGOs, local organizations, private commercial and traditional providers, and the government.
- ❑ Describe the program's approach to behavior change for individuals, families, communities and health service providers, and others as appropriate. Include the approaches that will be used at the community level (including community health workers, traditional healers and birth attendants, mothers groups etc.). A broad strategy should be discussed here, and elaborated upon in Section D.3, Child Survival Interventions.
- ❑ Discuss any plans for health-policy related advocacy the program plans to undertake. Describe any activities the program plans undertake with coalitions of NGOs.
- ❑ Discuss the program's approach to training. Include how training will be planned, carried out, and followed-up. Be sure to include training activities in the workplan. You may also further discuss the content of training in Section D.3, Child Survival Interventions.
- ❑ Describe approaches to increasing equitable access to and use of services by under-served and disadvantaged groups and segments of the population, including gender inequalities.
- ❑ Describe new methods, strategies, or materials to be developed or adopted by the proposed program that may be applicable on a wider scale or beneficial in other areas or programs.
- ❑ Discuss major challenges to achieving results and how the program plans to address the challenges.
- ❑ If opportunities for synergies with another sector program in the same geographical area have been identified and will be further explored, discuss how the programs will work together and benefit from each other.

Please Note: For **third-cycle** applicants, describe how the program builds on your previous in-country experience.

II.D.2.A CAPACITY BUILDING

This section describes planned approaches to capacity building. It should specify the expected areas in which capacity will be built, the systems levels at which capacity will be built, and the level of capacity that is expected to be attained within each system identified. The capacity building approach should support the overall goal of the program and the sustainability objectives outlined in the next section. See Annex C.2, (Technical Reference Materials) for information and resources on capacity building. Also please note that a baseline and final assessment of the PVO and the local partner's organizational capacity is a requirement for funded programs. Please see Section I.G., Requirements for Funded Programs, for details.

Strengthening the PVO

- ❑ Discuss the areas of capacity that need strengthening in the U.S. PVO. Reference any institutional assessments that the organization may have already carried out.
- ❑ State the capacity building objectives for increasing the PVO's capacity under this grant. Describe how the PVO will use this program to strengthen the capacity of the organization, including the level of the organization that will be affected (e.g. health unit at headquarters, the PVO local office staff, other programs of the PVO, the entire organization), and the areas of capacity that will be enhanced.
- ❑ Explain how lessons learned from this program will be shared with other programs implemented by the PVO.
- ❑ In the M&E Section, be sure to discuss how the current capacity of the PVO will be assessed, and provide indicators to measure progress towards objectives.

Strengthening the Local Partner

- ❑ Describe the approach the program will use to build the capacity of your local partner(s). Discuss any plans to work with local networks/associations of NGO/PVOs.
- ❑ Discuss the approach the program will take (including tools you plan to use), to build a strong relationship with your local partner, and to jointly develop a capacity building plan. Discuss broad areas of capacity that the program will seek to build in the local partner. It is not necessary to provide specific objectives and indicators in the application. If the program is funded, these will be provided in the Detailed Implementation Plan.

- ❑ In the M&E Section, be sure to discuss how the current capacity of the local partner(s) will be assessed.
- ❑ Discuss any constraints to building the capacity of the local partner, and how these constraints will affect what can be reasonably achieved over the life of the project.

II.D.2.B SUSTAINABILITY

- ❑ Define what sustainability means from the perspective of your PVO and the proposed program.
- ❑ Provide sustainability objectives, and discuss the program's strategy for achieving sustainability. Be sure to identify what elements of the program are to be sustained, and how they will be sustained, when the USAID-funded program ends. In a broad sense, what the program plans to "leave in place." At a minimum, explain how the community structures created or reinforced will continue to function, how end of project levels of coverage will be maintained, and how increased technical abilities in the local partners and the PVO will be maintained. Be sure to include your sustainability objectives and indicators in the Program Matrix in the M&E Section.
- ❑ Discuss the assumptions (e.g. general health trends, national economic trends, local political factors, and cultural factors) upon which your sustainability strategy is built.
- ❑ Explain how your capacity building approach supports the achievement of your sustainability objectives.
- ❑ If there are plans for the program to institute a fee-for-service or other type of cost recovery, describe the process that will be undertaken to establish an analytic basis for these decisions.
- ❑ Discuss the devolution strategy for transitioning to other funding or transferring all activities to a local partner. Discuss how program recurrent costs will be phased-out or handed over to a local partner.
- ❑ Include an average cost per target beneficiary based on the projected number of beneficiaries who will be in your program area *in the final year* of the program. (Note: program area is defined as the specific geographical areas in which your program interventions will be implemented.) To be consistent we ask that all applicants use the following formula:
 1. Define your target beneficiaries by determining whether your proposed intervention mix will target only children (0-59 months) or both children and women of childbearing age.

2. Determine the total number of target beneficiaries projected to be in the program area at the end of your project.
3. Divide the total amount of program funds (USAID funding and match funds) requested by the total number of target beneficiaries, then divide by the number of years the project is proposed to be funded.

Example: A project proposes to implement an IMCI program with a Maternal and Neonatal Care Component. Over the course of a 5-year program with \$ 1,000,000.00 in USAID funding and \$333,000 in match funding, the project will gradually phase into 20 communities in district "X", each with a projected population of 5000 people by year 5. Of the 100,000 total population in these 20 communities, it is projected that by year five of the project there will be 30,000 women of childbearing age and 20,000 children 0-59 months.

To calculate the average cost per beneficiary:

1. Define beneficiaries as both women of child bearing age and children 0-59 months.
2. Total number of target beneficiaries is 50,000.
3. $\$1,333,000.00 / 50,000 = \26.66 . $\$26.66 / 5 \text{ years} = \$5.33 \text{ per target beneficiary/per year}$

II.D.3. CHILD SURVIVAL INTERVENTIONS

This section should provide a detailed discussion of each child survival objective and/or intervention in an integrated package of interventions. For each intervention:

- ☐ Describe how the program will address the essential elements of the intervention (e.g. care-seeking behavior, equitable access, and quality of care) and who will be responsible for carrying out activities.
- ☐ Provide an explanation of and justification for, any proposed intervention activities that differ from the MOH policy in the proposed country.
- ☐ Provide relevant information on key household behaviors and care seeking practices. BHR/PVC does not expect the PVO to have conducted a survey, but knowledge of the local populations should be evident.
- ☐ If your program strategy includes some aspect of Integrated Management of Childhood Illness (IMCI), please address the following: Which aspects of IMCI will be addressed (i.e. facility based, systems strengthening, community IMCI). What is the status of IMCI adoption and implementation in the country and the program area? What training materials will be used? Who will conduct the training and how long will it last? For your information, an analysis of the programmatic gaps in the IMCI sections of FY 2000 application submissions is available on the PVC web site.

II.E. PERFORMANCE MONITORING AND EVALUATION

- ❑ Discuss how progress towards program objectives will be measured. Describe how data on indicators will be collected, analyzed, and used for program management.
- ❑ Describe the types of baseline assessments, studies or surveys that will be carried out. Include baselines of PVO and local partner capacity, qualitative assessments, and population-based assessments.
- ❑ Describe the data collection systems that already exist in the program area, how the program's data collection will be different, and how they will relate to each other.
- ❑ Discuss how the program will document and share lessons learned with the broader child survival community.
- ❑ Discuss operations research ideas that will be carried out in the program.
- ❑ Summarize the proposed program's goal, results-based objective(s) and major activities. These should be the same as already discussed in the narrative of earlier sections. In addition, include indicator(s) for measuring the achievement of each objective. You may use a matrix or other graphic to present the information. The Matrix on the following page is a composite example drawing from what various PVOs have submitted in the past. If your PVO has standardized on a particular approach, such as a logical framework, or a results framework, please use your organization's preferred format.

The graphic should provide the reader with a concise summary of the proposed program, what the program will hold itself accountable to achieve and how the program will measure these outcomes and impact.

EXAMPLE OF A PROGRAM MATRIX TO DISPLAY PROGRAM GOALS AND OBJECTIVES

Goal: _____

OBJECTIVES	INDICATORS	MEASUREMENT METHODS	MAJOR PLANNED ACTIVITIES
* Objective 1	* indicator(s) * indicator * indicator	* measurement method(s)	* activity(ies) * activity
* Objective 2	* indicator * indicator	* measurement method	* activity * activity
* Objective 3	* indicator * indicator	* measurement method	* activity * activity

Definitions:

Goal: A statement of the long-term aim of the project. While the complete fulfillment of a goal may not be possible or verifiable within the life span of the project, the achievement of the project's more specific objectives should contribute to the realization of the goal.

Objective: A statement of what the program plans to achieve during the life of the project. This achievement is the highest level result that a program can materially effect with its efforts.

Indicator: An indicator specifies what to measure to determine whether the objective has been achieved.

Targets: A target is the planned value of the indicator at the end of the project. (e.g. 70% of children fully immunized by project end). In the above Matrix, targets can be stated in the objective statement or in the indicators. Illustrative, end-of-program targets should be provided in the application. If the program is funded, targets can be adjusted in the DIP according to baseline survey results.

Measurement

Method: The measurement method identifies the source of the data for the indicators. (e.g. initial and final KPC Survey).

Planned

Activities: Activities support the achievement of the objective. These include inputs and processes carried out by the program.

II.F. MANAGEMENT PLAN

This section describes how the program will be managed.

II.F.1 ORGANIZATIONAL STRUCTURE

- ☐ Describe the proposed management structure for this program. Include the responsibilities of all principle organizations involved; reporting relationships and lines of communication within, and between each of these organizations.
- ☐ Discuss how the US headquarters will ensure effective support to the field for this project.
- ☐ In an ATTACHMENT, please provide an organizational chart that clearly delineates the key personnel responsible for technically backstopping this program in your U.S. headquarters office and managing this program in your in-country office. Describe how they fit into the overall organization, and the linkages between the headquarters, regional (if applicable), and field program personnel.

F.2 HUMAN RESOURCE MANAGEMENT

- ☐ Provide a list of ALL persons who will contribute to achieving the results of the program. This may include, but is not limited to: PVO headquarter and field staff, local partner staff, MOH staff, community health workers, and private sector providers. For each type of worker provide: 1) the number of workers in that category, 2) organizational affiliation, 3) main responsibilities; 4) percent of effort devoted to project activities, and 5) entity responsible for remunerating the worker (e.g. the PVO, the MOH, the community, volunteer).
- ☐ Discuss how the program will ensure representation of all segments of the community in the staff.
- ☐ Provide in an ATTACHMENT resumes for the headquarters backstop and the field program manager (if already hired), and/or position descriptions.
- ☐ Discuss arrangements to ensure the security and safety of program personnel. This is particularly important for those PVOs applying for programs in countries experiencing conflict and those transitioning from complex emergencies to long term, sustainable development.
- ☐ Please identify the types of technical assistance you might require from the PVO Child Survival Grants Program through various mechanisms. Describe how your PVO might use these services to assist you with your program.

II.F.3 FINANCIAL MANAGEMENT

- ❑ Discuss the roles and responsibilities of project staff vis-à-vis budgeting, monitoring, and reporting on the financial status of the project.
- ❑ Explain how your program will track costs incurred, including costs for labor, equipment, supplies, and facilities.

II.F.4 PROJECT WORKPLAN (Must be included within the 40 page limit)

- ❑ Please present a brief, but illustrative work plan for the life of the program. Ensure that it reflects the strategies and activities discussed throughout the application. If you plan to phase in or phase out interventions or sites, include a schedule.
- ❑ Include a more detailed action plan (calendar of essential activities) for the first year of the program, including activity, approximate timing, and assigned responsibility. Be sure to include all training activities in your workplan.
- ❑ Discuss how the program team will use the workplan during program implementation.

STANDARD FORMS 424 AND 424A
INSTRUCTIONS FOR COMPLETION AND SAMPLE
BHR/PVC CHILD SURVIVAL GRANTS PROGRAM

Standard Form 424

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION:		2. DATE SUBMITTED		Applicant Identifier NA	
Application ____ Construction __X__ Non-Construction		Reapplication NA ____ Construction ____ Non-Construction		3. DATE RECEIVED BY STATE NA	
		4. DATE RECEIVED BY FEDERAL AGENCY		State Application Identifier NA	
				Federal Identifier NA	
5. APPLICATION INFORMATION					
Legal Name:			Organizational Unit		
Address (give only county, state, and zip code):			Name and telephone number of person to be contacted on matters involving this application (give area code)		
6. EMPLOYER IDENTIFICATION NUMBER (EIN):			7. TYPE OF APPLICATION: (enter appropriate letter in box) M		
8. TYPE OF APPLICATION __X__ New _____ Continuation _____ Revision If Revision, enter appropriate letter(s) in box(es) A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify): C. Increase Duration			A. State H. Independent School Dist B. County I. State Controlled Institution of Higher Learning C. Municipal J. Indian Tribe D. Township K. Individual E. Interstate L. Profit Organization F. Inter-municipal M. Other (specify) G. Special Dist.		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: NA TITLE:			9. NAME OF FEDERAL AGENCY USAID/BHR/PVC		
12. AREAS AFFECTED (Cities, Counties, States, etc.):			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:			
START DATE	END DATE	a. Applicant NA		b. Project NA	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?			
a. Federal	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON: DATE			
b. Applicant	\$	B. NO. __X__ PROGRAM IS NOT COVERED BY E.O. 12372 __X__ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
c. State	\$ NA				
d. Local	\$ NA				
e. Other	\$				
f. Program Income	\$				
g. TOTAL	\$				
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? _____ Yes If "Yes", attach an explanation _____ No					
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.					
a. Type Name of Authorized Representative		b. Title		c. Telephone Number	
d. Signature of Authorized Representative				e. Date Signed	

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Self-explanatory.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13.	Self-explanatory.
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
5.	Legal name of applicant, name of primary organizational unit, which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State inter government review process.
7.	Enter the appropriate letter in the space provided.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) SF 424 Back (Rev. 4-92)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

Standard Form 424A
Budget Information - Non-Construction Programs

SECTION A - BUDGET SUMMARY

Grant Program Function Or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1. Headquarters	\$ NA	\$ NA	\$ NA	\$	\$	\$
2. Field	NA	NA	NA			
3. NA	NA	NA	NA	NA	NA	NA
4. NA	NA	NA	NA	NA	NA	NA
5. TOTALS	\$ NA	\$ NA	\$ NA	\$	\$	\$

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	USAID PROGRAM		RECIPIENT FUNDS		Total ...
	(1) Federal	(2) Non-Federal	{3}	{4}	
a. Personnel (1)	\$	\$	\$ NA	\$ NA	\$
b. Fringe Benefits (1)			NA	NA	
c. Travel (1)			NA	NA	
d. Equipment (3)			NA	NA	
e. Supplies (3)			NA	NA	
f. Contractual (3)			NA	NA	
g. Construction N/A			NA	NA	
h. Other (1), (2) (see notes)			NA	NA	
i. Total Direct Charges (sum of 6a-6h)			NA	NA	
j. Indirect Charges (4)			NA	NA	
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

STANDARD FORM 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Headquarters		\$	\$ NA	\$	\$
9. Field			NA		
10. NA		NA	NA	NA	
11. NA		NA	NA	NA	
12. TOTAL (sum of lines 8-11)		\$	\$ NA	\$	\$
SECTION D - FORECASTED CASH NEEDS					
13. Federal		Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter
		\$	\$	\$	\$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)					
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program		Future Funding Periods			
		(b) First	(c) Second	(d) Third	(e) Fourth
16. Headquarters		\$	\$	\$	\$
17. Field					
18. NA		NA	NA	NA	NA
19. NA		NA	NA	NA	NA
20. TOTAL (sum of lines 16-19)		\$	\$	\$	\$
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

Standard Form 424A (cont'd.) INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines, which prescribe how, and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

SF 424A (Rev. 4-92) Page 3

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will

Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A (continued)

Section B. Budget Categories

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants who are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

a. Personnel

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. Fringe Benefits

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. Travel

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per diems are based on established policies.

d. Equipment

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

e. Supplies

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

f. Contractual Services

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grants, which should be included in other.

g **Construction**

N/A

h. **Other**

PVOs are to identify all costs associated with training of project personnel.

PVOs planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The PVO should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all subgrants.

i. **Indirect Charges**

Include a copy of the PVO's most recent negotiated indirect cost rate agreement (NICRA) from cognizant audit agency showing the overhead and/or general administrative rate.

USAID Form 424A, Section C should reflect the PVO's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies, must be documentable.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B–Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative. Do **NOT** use the four **Cost Elements of the Cooperative Agreement Budget shown below.**

SAMPLE COOPERATIVE AGREEMENT BUDGET

<u>Budget Cost Element</u>	SF 424, sec.B, Item 6 <u>Object Class Category</u>	<u>Budget Amount</u>
Program	Line a, c, and h	\$ _____
Training	Line h	\$ _____
Procurement	Line d, e and f	\$ _____
Indirect Costs	Line j	\$ _____
Program's Total Budget		\$ _____
Funding arrangement:		
Total USAID Amount		\$ _____
Recipient's Cost Share		\$ _____
Total Program Funding		\$ _____

ANNEX B

USAID MISSION CONTACTS/ADDRESSES

ANNEX B

USAID MISSION CONTACTS / ADDRESSES

(In Alphabetical Order by Country)

Country	Contact Person	Official Address	Commercial Courier
Albania	Rita Hudson, Technical Officer, & PVO Liaison	DOS/USAID 9510 Tirana Place Washington, DC 20521-9510	USAID/American Embassy 103 Rruga e Elbasanit Tirana, Albania Tel: 355-42-30551
Angola	Alexandre Saul, Health Advisor	DOS/USAID 2550 Luanda Place Washington, DC 20521-2550	USAID/Angola Rua Kwamme Nkrumah, 31 Luanda, Angola Tel: 244-2-399-540
Azerbaijan	Bill McKinney/Baku Kent A. Larson, Chief Off. Of Humanitarian Response/ Social Transition	DOS/USAID 7060 Tbilisi Place Washington, DC 20521-7060	USAID/Caucasus/Tbilisi 20 Telavi Street, 5 th Floor Tbilisi, 380036, Rep. Of Georgia Tel: (995-32) 93-12-62
Bangladesh	Elmira Gilbert, Technical Officer Moslehuddin Ahmed, PVO Liaison Officer	DOS/USAID 6120 Dhaka Place Washington, DC 20521-6120	USAID/Dhaka American Embassy Madhani Ave., Baridhara Dhaka, Bangladesh Tel: 880-2-884-700-22
Belarus	Eliot J. Pearlman Senior Health Advisor	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Benin	Alicia Dinerstein, Team Leader Laura Hoemeke, Technical Advisor	DOS/USAID 2120 Cotonou Place Washington, DC 20521-2120	USAID/Cotonou Rue Caporal Anani Bernard B.P. 2120 Cotonou, Benin Tel: 229-30-06050
Bolivia	Charles Oliver Technical Officer	American Embassy USAID/La Paz Unit #3914 APO AA 34032	USAID/Bolivia 109 Calles No. 9 Obrajes La Paz, Bolivia Tel: 591-2-786-544/786-147
Burundi	James Sarn	REDSO/ESA USAID/Nairobi Unit # 64102 APO AA 09831-4102	USAID Towers – REDSO/ESA The Crescent, Parklands Nairobi, Kenya Tel: 254-2-751-613
Cambodia	Caroline Connolly Randy Kolstad PHN Office	American Embassy USAID/Phnom Penh Box P APO AP 96546	USAID/Cambodia No. 18 Mongkul Eam Street #228 Phnom Penh, Cambodia Tel: 855-23-427-640
Congo, Democratic Republic of	Reggie Hawkins, PHN Office	USAID/Kinshasa Unit 31550 APO AE 09828	Tel: 243-12-21533 Fax: 243-88-03274
Dominican Republic	Linda Lankenau, Technical Officer Kelva Perez, PVO Liaison Officer	USAID/Santo Domingo Unit #5541 APO AA 34041-5541	American Embassy USAID/Santo Domingo Leopoldo Navarro 12 Santo Domingo Dominican Republic Tel: 809-221-1100
Ecuador	Carol J. Dabbs, MPH Chief, PHN Team	USAID/LAC/RSD-PHN, Rm 5.09-103 RRB 1300 Penna Ave, NW Washington, DC 20523 Tel 202-712-0473 Fax 202-216-3262	USAID/LAC/RSD-PHN, Room 5.09-103 RRB 1300 Pennsylvania Ave, NW Washington, DC 20523 Tel 202-712-0473 Fax 202-216-3262

Country	Contact Person	Official Address	Commercial Courier
El Salvador	Silvia Gonzales, PVO Liaison Off. Margarita Lobo, Technical Officer	USAID/San Salvador Unit # 3110 APO AA 34023	USAID/El Salvador Urbanizacion Y Blvd Santa Elena Antiquo Cuscatlan, La Libertad, El Salvador Tel: 503-2-981-666
Eritrea	Linda Lou Kelly, Mission Health Officer	DOS/USAID 7170 Asmara Place Washington, DC 20521- 7170	USAID/Asmara Debretabor Street, 15 Asmara, Eritrea Tel: 291-1-126546
Ethiopia	Dr. Hana Neka-Tebeb, CS Project Coordinator Getahun Dendir, PVO Liaison Officer	DOS/USAID 2030 Addis Ababa Place Washington, DC 20521-2030	USAID/Ethiopia Riverside Building Asmara Rd & Bole (Olympia) Addis Ababa, Ethiopia Tel: 251-1-510-088
Republic of Georgia	Kent A. Larson, Chief Off. Of Humanitarian Response/ Social Transition	DOS/USAID 7060 Tbilisi Place Washington, DC 20521- 7060	USAID/Caucasus/Tbilisi Fifth Floor, 20 Telavi Street Tbilisi 380036, Republic of Georgia Tel: 995-32-98-23-93
Guatemala	Edward Scholl Technical Officer/PVO Liaison	USAID/Guatemala American Embassy Unit #3323 APO AA 34024	USAID/Guatemala 1 Calle 7-66, Zone 9 01009 Guatemala Guatemala, C.A. Tel: 502-2-31-15-41
Ghana	Bob Pond, HPN Office	DOS/USAID 2020 Accra Place Washington, DC 20521- 2020	USAID/Ghana 45/3 Independence Ave. Accra, Ghana Tel: 233-21-225-087/228-467
Guinea	Mariama Bah General Dev. Office	DOS/USAID 2110 Conakry Place Washington, DC 20521- 2110	USAID/Guinea Camayenne Corniche Nord Quartier Cameroun Conakry, Guinea Tel: 224-41-2163/41-2502
Haiti	Yves Marie Bernard, Technical PVO Liaison	DOS/USAID 3400 Port-au-Prince Place Washington, DC 20521- 3400	USAID/Haiti #17 Harry Truman Blvd. Port-au-Prince, Haiti Tel: 509-22-5500/22-3085
Honduras	Meri Sinnitt, Chief Office of PHN Honduras	USAID/Tegucigalpa Unit # 2927 APO AA 34022	USAID/Honduras Avenida La Paz Frente Embajada Americana Tegucigalpa D.C., Honduras Tel: 504-36-9320
India	Carla E. Barbiero, Technical Officer David Robinson, PVO Liaison Officer	DOS/USAID 9000 New Delhi Place Washington, DC 20521- 9000	USAID/American Embassy Shantipath, Chanakyapuri New Delhi 110-021, India Tel: 91-11-611-3033
Indonesia	Jonathan Ross Sri Durdjati Boedihardjo, PHN Office	American Embassy/USAID Box #4 APO AP 96520	USAID/Indonesia C/o American Embassy Jl. Medan Merdeka Selatan 3-5 Jakarta 10110, Indonesia 62-21-344-2211

Country	Contact Person	Official Address	Commercial Courier
Kazakhstan	Mary Skarie PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty , Kazakhstan Tel: 7-3272-506636
Kenya	Victor Masbayi, PHN Office	USAID/Nairobi Unit # 64102 APO AE 09831-4102	USAID Towers – RFMC The Crescent, Parklands Nairobi, Kenya Tel: 254-2-751-613

Kyrgyzstan	Mary Skarie PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty , Kazakstan Tel: 7-3272-506636
Liberia	Dr. Adams Lincoln, Technical Officer Minnie Wright, PVO Liaison Officer	DOS/USAID 8800 Monrovia Place Washington, DC 20521-8800	USAID/Monrovia Box 111 United Nations Drive Mamba Point, Monrovia, Liberia Tel: 231-226-370
Madagascar	Susan Anthony, HPN Officer Benjamin Andriamitantsoa Riri Randriamisata, HPN Office	DOS/USAID 2040 Antananarivo Place Washington, DC 20521-2040	USAID/Madagascar Immeuble Vonisoa III Avenue Docteur Ravohangy Anosy, Antananarivo 101 Madagascar Tel: 261-2-254-89
Malawi	Joan LaRosa, Health/Develop. Officer Mexon Nyirongo/Dwight Smith, Program Officers	DOS/USAID 2280 Lilongwe Place Washington, DC 20521-2280	USAID/Lilongwe NICO House, 1st Floor Lilongwe 3, Malawi Tel: 265-782-455
Mali	Ursula Nadolny PHN Office	DOS/USAID 2050 Bamako Place Washington, D.C. 20521-2050	USAID/Mali Immeuble Dotemougou Rue Raymond Poincarre & Rue 319 Quartier du Fleuve Bamako , Mali Tel: 223-223-602
Moldova	Eliot J. Pearlman Senior Health Advisor	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Morocco	Susan Wright, Technical Advisor/PVO Liaison Officer	American Embassy USAID/Rabat PSC 74 Box 022 APO AE 09718-5000	USAID/Morocco 137 Avenue Allal ben Abdallah Rabat, Morocco Tel: 212-776-2265
Mozambique	Okey Nwanyanwu, HPN Office	DOS/USAID 2310 Maputo Place Washington, DC 20521-2310	USAID/Mozambique 107 Rua Faria de Sousa Maputo, Mozambique Tel: 258-1-490-726
Namibia	Carol Culler Gary Cohen Office of Natural Resources, Dem & Health	DOS/USAID 2540 Windhoek Place Washington, DC 20521-2540	USAID/Windhoek 6 th Floor, Southern Life Tower Post Street Mall Windhoek, Namibia Tel: 264-61-225-935
Nepal	Lyndon Brown, HPN Office	DOS/USAID 6190 Kathmandu Washington, DC 20521-6190	USAID/Nepal Kalamati Durbar Rabi Bhawan Kathmandu, Nepal Tel: 977-1-270-144/271-703

Country	Contact Person	Official Address	Commercial Courier
Nicaragua	Alonzo Wind, Health Develop. Officer Dr. Alberto Araica, Health Specialist	American Embassy USAID/Managua Unit #2712 Box #9 APO AA 34021	USAID/Nicaragua C/o American Embassy Pista Sub-urbano De Los Semaforos de la Centro America dos Cuadras Abajo Frente de Syscom Managua, Nicaragua Tel: 505-2-670-502
Nigeria	Lynn Gorton Abdu Garba Health/Population Office	DOS/USAID 8300 Lagos Place Washington, DC 20521- 8300	USAID/Nigeria 1601 Adeola Hopewell Victoria Island Lagos, Nigeria Tel: 234-1-614-412/614-698
Peru	Dr. Luis Seminario PVO Liaison Officer, HPN Office	USAID/Lima American Embassy/USAID Unit #3760 APO AA 34031	USAID/Lima Av. Arequipa 351 Lima 1, Peru Tel: 511-433-3200/433-0555
Philippines	Marichi de Sagun PHN Office	USAID/Manila FPO AP 96515	USAID/Philippines Ramon Magsaysay Building 1680 Roxas Blvd, Malate 1004 Manila, Philippines Tel: 63-2-522-4411
Rwanda	Christian Barratt, HPN Officer, or Eric Kagame, Health Prog. Manager	DOS/USAID 2210 Kigali Place Washington, D.C. 20521- 2210	USAID/Rwanda Blvd. de la Revolution B.P. 28 Kigali, Rwanda Tel: 5601-2-3-2126/2127/2128
Senegal	Dr. Matar Camara, CS Specialist Mr. Mawa Diop, PVO Liaison Officer	DOS/USAID 2130 Dakar Place Washington, DC 20521- 2130	USAID/Senegal c/o American Embassy B.P. 49, Avenue Jean XXIII AND Rue Kleber Dakar, Senegal Tel: 221-21-4296
South Africa	Dr. S. Ken Yamashita, Health Team Leader Ms. Anita Sampson Health Program Officer	DOS/USAID 9300 Pretoria Place Washington, DC 20521- 9300	USAID/South Africa Sancardia Building, 9th Floor 524 Church Street Arcadia, Pretoria 0007 South Africa Tel: 27-12-323-8869
Tajikistan	Michael Harvey PVO Liaison Officer	DOS/USAID 7090 Dushanbe Place Washington, DC 20521- 7090	USAID/Dushanbe c/o American Embassy 105 Khiabon-e Rudaki, Apts. 2,3 734001 Dushanbe, Tajikistan Tel: 3772-21-03-56
Tanzania	Vicky Chuwa, Project Mgt. Specialist	DOS/USAID 2140 Dar es Salaam Place Washington, DC 20521- 2140	USAID/Tanzania 3rd Floor, ATC House Ohio Street, Dar Es Salaam United Republic of Tanzania Tel: 255-22-2117540 FAX: 255-22-2116559
Turkmenistan	Mary Skarie PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521- 7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty, Kazakstan Tel: 7-3272-506636

Country	Contact Person	Official Address	Commercial Courier
Uganda	Dr. Jessica Kafuko Technical/PVO Liaison Officer	DOS/USAID 2190 Kampala Place Washington, DC 20521-2190	c/o American Embassy 42 Nakasero Road Kampala, Uganda Tel: 256-41-259-791
Ukraine	Eliot J. Pearlman Senior Health Advisor	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Uzbekistan	Mary Skarie PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty , Kazakstan Tel: 7-3272-506636
Vietnam	Antoinette Ferrara Vietnam Desk Officer	USAID/ANE/ESA RRB Washington, DC 20523-4101	USAID/ANE/ESA RRB Washington, DC 20523-4101 Tel: 202-712-5367
Yemen	Fawzia Yousseff, CS Technical Officer	USAID/Sanaa Dept. of State Washington, DC 20521-6330	USAID/Yemen c/o American Embassy Sa'awan Street, Himyar Zone Sana'a, Republic of Yemen Tel: 967-1-238-843
Zambia	Stephen Hodgins, Advisor Child Health, Malaria, and Nutrition	DOS/USAID 2310 Lusaka Place Washington, DC 20521-2310	USAIDZambia 351 Independence Ave. Lusaka, Zambia Tel: 260-1-254-303
West/Central Africa Region (WCA) 1 - Burkina Faso - Cameroon - Togo - Cote d'Ivoire	Valerie Koscelnik, Reproductive Health Advisor Family Health & AIDS	DOS/USAID 2010 Abidjan Place Washington, DC 20521-2010	5, Rue Jesse Owens 01 BP 1712 Abidjan 01, Cote D'Ivoire Tel: 225-41-4528 thru 32

1 West and Central Africa (WCA) Region (Burkina Faso, Cameroon, Togo and Cote d'Ivoire):
PVOs proposing for WCA must consult with those individual on the contact list for guidance on priority interventions. The programs proposed must have regional relevance, no reliance on a US mission, partnership with local organizations and other US and international PVOs to the extent possible, and diversified funding sources for the proposed activity.

ANNEX C-1

GUIDELINES FOR DETAILED IMPLEMENTATION PLANS FOR THE CHILD SURVIVAL GRANTS PROGRAM

http://www.usaid.gov/hum_response/pvc/child.html

ANNEX C-2

CHILD SURVIVAL GRANTS PROGRAM TECHNICAL REFERENCE MATERIALS

http://www.usaid.gov/hum_response/pvc/child.html

ANNEX D

USAID 22 CFR PART 226

BHR/PVC CHILD SURVIVAL GRANTS PROGRAM

AVAILABLE ON THE INTERNET

(URL: <http://www.usaid.gov/pubs/ads/cfr22/22cfr226.pdf>)

ANNEX E

CURRENT RECEIPIENTS

PVO CHILD SURVIVAL GRANTS PROGRAM (In alphabetical Order)

ADRA	-	Adventist Development and Relief Agency
AFRICARE	-	Africare, Inc.
AKF	-	Aga Khan Foundation
ARHC	-	Andean Rural Health Care
CARE	-	Cooperative for Assistance and Relief Everywhere
CCF	-	Christian Children's Fund, Inc.
CRS	-	Catholic Relief Services
CWI	-	Concern Worldwide (U.S.), Inc.
CII (FSP)	-	Counterpart International, Inc
ESPERANCA	-	Esperanca, Inc.
FOCAS	-	Foundation of Compassionate American Samaritans
HAI	-	Health Alliance International
HKI	-	Helen Keller International
HOPE	-	Project HOPE (The People-to-People Health Foundation)
IEF	-	International Eye Foundation
IRC	-	International Rescue Committee
MAP	-	MAP International
MCI	-	Mercy Corps International
MCDI	-	Medical Care Development International
MIHV	-	Minnesota International Health Volunteers
PATH	-	Program for Appropriate Technology in Health
PCI	-	Project Concern International
PFD	-	Partners For Development
PLAN	-	PLAN International USA, Inc (Childreach)
PSBI	-	The Pearl S. Buck International, Inc
PSI	-	Population Services International
SC	-	Save the Children Federation, Inc.
WRC	-	World Relief Corporation
WVRD	-	World Vision Relief and Development

ANNEX F

**OFFICE OF PRIVATE AND VOLUNTARY COOPERATION
BUREAU FOR HUMANITARIAN RESPONSE**

**RESULTS REVIEW
FY 1999**

Available on the Internet

[URL: http://www.usaid.gov/hum_response/pvc/r2_00.pdf](http://www.usaid.gov/hum_response/pvc/r2_00.pdf)

ANNEX G

CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF APPLICANT/GRANTEE

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE

1 2

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING
NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such

1 FORMATS/GRNTCERT: Rev. 04/04/95 (TM 13:63/TM 1B:90/CIB95-11).

2 When these Certifications, Assurances, and Other Statements of Applicant/Grantee are used for cooperative agreements, the following terms apply: "Grantee" means "Recipient," "Grant" means "Cooperative Agreement," and "Grant Officer" means "Agreement Officer."

date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

2. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS³

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.4 You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

³ The applicant/grantee must obtain from each identified subgrantee and (sub) contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Transactions, set forth in Attachment A hereto. The application/grantee should reproduce additional copies as necessary.

⁴ See Chapter 3 of USAID Handbook 13, 22 CFR 208.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,"⁵ provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a System of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one

⁵ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the applicant/grantee is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the applicant/grantee is a non-U.S. nongovernmental organization.

or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

3. **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions**

(a) **Instruction for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntary excluded,” as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. ^{1/} you may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier covered Transaction,” ^{2/} without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective

1/ See Chapter 3 of USAID Handbook 13, 22 CFR 208.

2/ For USAID, this clause is entitled “Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)” and is set forth in the USAID grant standard provision for U.S. non-governmental organizations entitled “Debarment, Suspension, and Related Matters” (See Appendix 4C of USAID Handbook 13), or in the USAID grant standard provision for non-U.S. non-governmental organizations entitled “Debarment, Suspension, and Other Responsibility Matters” (See Appendix 4D of USAID Handbook 13).

participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. **CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the applicant/grantee is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the applicant/grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For applicants/grantees other than individuals, Alternate I applies.

(4) For applicants/grantees who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The applicant/grantee certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture,

distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The applicant's/grantee's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The applicant/grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The applicant/grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

5. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code.

Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

6. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)

(This provision is applicable where performance of the award will take place in "Covered" Countries, as described in ADS 206 (see 206.5.3))*

a) USAID reserves the right to terminate assistance to, or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

b) (1) For any loan over \$1000 made under this agreement, the recipient shall insert a clause in the loan agreement stating that the loan is subject to immediate cancellation, acceleration, recall or refund by the recipient if the borrower or a key individual of a borrower is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

(2) Upon notice by USAID of a determination under section (1) and at USAID's option, the recipient agrees to immediately cancel, accelerate or recall the loan, including refund in full of the outstanding balance. USAID reserves the right to have the loan refund returned to USAID.

c) (1) The recipient agrees not to disburse, or sign documents committing the recipient to disburse, funds to a subrecipient designated by USAID ("Designated Subrecipient") until advised by USAID that: (i) any United States Government review of the Designated Subrecipient and its key individuals has been completed; (ii) any related certifications have been obtained; and (iii) the assistance to the Designated Subrecipient has been approved. Designation means that the subrecipient has been unilaterally selected by USAID as the subrecipient. USAID approval of a subrecipient, selected by another party, or joint selection by USAID and another party is not designation.

2) The recipient shall insert the following clause, or its substance, in its agreement with the Designated Subrecipient:

"The recipient reserves the right to terminate this [Agreement/Contract] or take other appropriate measures if the [Subrecipient] or a key individual of the [Subrecipient] is found to have been convicted of a narcotic offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140."

*COVERED COUNTRIES

The 487 Regulations apply when assistance is being provided to or through an individual or entity in a covered country.

WHAT ARE THE COVERED COUNTRIES?

The covered countries are those identified annually as major, illicit, drug-producing or drug-transit countries under Section 490(h) of the FAA as well as any country or portion of a country that the State Department determines is to be treated as a covered country under the 487 Regulations.

As of November 10, 1999, the following are Covered Countries: AFR: Nigeria; ANE: Afghanistan, Burma, Cambodia, China, Hong Kong, India, Laos, Pakistan, Taiwan, Thailand, Vietnam; ENI: None; LAC: The Bahamas, Bolivia, Brazil, Colombia, Dominican Republic, Ecuador, Guatemala, Haiti, Jamaica, Mexico, Panama, Paraguay, Peru, Venezuela.

7. AGREEMENT ON GRANT TERMS AND CONDITIONS

The applicant/grantee certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

Solicitation No.

Application/Proposal No.

Date of Application/Proposal

Name of Applicant/Grantee

Typed Name and Title

Signature _____ Date _____